

**DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below adjacent to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of subject matter (process, machine, manufacture, or composition of matter, or an improvement thereof) which is claimed and for which a patent is sought by way of the application entitled

**System And Method For Analyzing Financial Market Data**

which (check) ☐ is attached hereto.  
☐ and is amended by the Preliminary Amendment attached hereto.  
☒ was filed on June 9, 2000 as Application Serial No. 09/590,942  
☐ and was amended on \_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
Number	Country	Day/Month/Year Filed	Yes	No
N/A			<input type="checkbox"/>	<input type="checkbox"/>

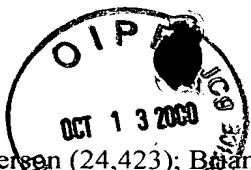
I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
N/A	

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information, which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status (patented, pending, abandoned)
N/A		

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:



Alan H. MacPherson (24,423); Brian D. Ogonowsky (31,988); David W. Heid (25,875); Norman R. Klivans (33,003); Edward C. Kwok (33,938); David E. Steuber (25,557); Michael Shenker (34,250); Stephen A. Terrile (32,546); Peter H. Kang (40,350); Ronald J. Meetin (29,089); Ken John Koestner (33,004); Omkar K. Suryadevara (36,320); David T. Millers (37,396); Michael P. Adams (34,763); Robert B. Morrill (43,817); Michael J. Halbert (40,633); Gary J. Edwards (41,008); James E. Parsons (34,691); Daniel P. Stewart (41,332); Philip W. Woo (39,880); John T. Winburn (26,822); Tom Chen (42,406); Fabio E. Marino (43,339); Don C. Lawrence (31,975); Marc R. Ascolese (42,268); Carmen C. Cook (42,433); David G. Dolezal (41,711); Roberta P. Saxon (43,087); Mary Jo Bertani (42,321); Dale R. Cook (42,434); Sam G. Campbell (42,381); Matthew J. Brigham (44,047); Hugh H. Matsubayashi (43,779); Patrick D. Benedicto (40,909); T.J. Singh (39,535); Shireen Irani Bacon (40,494); Rory G. Bens (44,028); George Wolken, Jr. (30,441); John A. Odozynski (28,769); Cameron K. Kerrigan (44,826); Paul E. Lewkowicz (44,870); Theodore P. Lopez (44,881); Mayankkumar M. Dixit (44,064); Eric Stephenson (38,321); Christopher Allenby (45,906); David C. Hsia (46,235); and Mark J. Rozman (42,117).

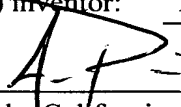
Please address all correspondence and telephone calls to:

Hugh H. Matsubayashi  
Attorney for Applicants  
**SKJERVEN, MORRILL, MacPHERSON, FRANKLIN & FRIEL LLP**  
25 Metro Drive, Suite 700  
San Jose, California 95110-1349

Telephone: 408-453-9200  
Facsimile: 408-453-7979

I declare that all statements made herein of my own knowledge are true, all statements made herein on information and belief are believed to be true, and all statements made herein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject to the penalties including fine or imprisonment or both as set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or this document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom.

Full name of sole (or first joint) inventor: Ari Pine

Inventor's Signature: 

Date: 18 July 2000

Residence: Alameda, California

Post Office Address: 2001 Shoreline Drive, #302  
Alameda, California 94501

Citizenship: U.S.A.

Full name of second inventor: Arthur L. Shmurun

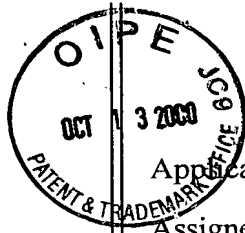
Inventor's Signature: 

Date: 18 July 2000

Residence: Moraga, California

Post Office Address: 651 Moraga Road, Suite 8  
Moraga, California 94556

Citizenship: U.S.A.



#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Ari Pine and Arthur L. Shmurun  
Assignee: Premium Research, Inc.  
Title: System And Method For Analyzing Financial Market Data  
Serial No.: 09/590,942 Filed: June 9, 2000  
Examiner: Unknown Group Art Unit: Unknown  
Docket No.: M-8579 US

COMMISSIONER FOR PATENTS  
Washington, D. C. 20231

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(F) & 1.27(C)) -- SMALL BUSINESS CONCERN**

Dear Sir:

I declare that I am an official empowered to act on behalf of the concern identified above as assignee.

Exclusive rights to the above invention as described in

- ☐ the specification filed herewith,  
☒ U.S. patent application Serial No. 09/590,942, filed June 9, 2000

have been conveyed to and remain with the above concern.

For purposes of paying reduced fees under Section 41 of Title 35 of the United States Code with regard to this invention, I declare that the above concern qualifies as a small business concern as defined in 37 CFR 1.9(d) and 13 CFR 121, and more particularly 13 CFR 121.802, namely, (a) the concern's number of employees, including those of its affiliates, does not exceed 500 persons, and (b) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation to assign, grant, convey, or license, any rights in the invention to any person who made it and could not be classified as an independent inventor under 37 CFR 1.9(c), or to any concern which would not qualify as a nonprofit organization under 37 CFR 1.9(e) or a small business concern under 37 CFR 121.802.

LAW OFFICES OF  
SKJERVEN, MORRILL,  
MacPHERSON, FRANKLIN  
& FRIEL LLP

25 METRO DRIVE  
SUITE 700  
SAN JOSE, CA 95110  
(408) 453-9200  
FAX (408) 453-7979

I acknowledge my duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate per 37 CFR 1.28(b).

I declare that all statements made herein of my own knowledge are true, all statements made herein on information and belief are believed to be true, and all statements made herein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject to the penalties including fine or imprisonment or both as set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or this document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

18 July 2000

Official's Name: \_\_\_\_\_

ARI PINE

Official's Title: \_\_\_\_\_

MANAGING DIRECTOR

Concern's Name: \_\_\_\_\_

Premium Research, Inc.

Concern's Address: \_\_\_\_\_

2001 Shoreline Drive, Suite 302, Alameda, California 94501

LAW OFFICES OF  
SKJERVEN, MORRILL,  
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& FRIEL LLP

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ATTORNEY DOCKET NO: M-8579 US #4

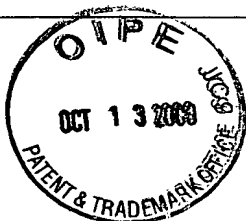
RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Director of the United States Patent and Trademark Office. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- (a) Ari Pine  
(b) Arthur L. Shmurun



Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Premium Research, Inc.

Street Address: 2001 Shoreline Drive, Suite 302

City: Alameda State: CA Zip: 94501

Country: USA

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: July 24, 2000 and August 7, 2000

Name and address of receiving party(ies):

Name: (Same as above)

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Country: \_\_\_\_\_

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s) - 09/590,942

Title: SYSTEM AND METHOD FOR ANALYZING FINANCIAL  
MARKET DATA

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Philip W. Woo

Internal Address: SKJERVEN MORRILL MacPHERSON LLP

Street Address: 25 METRO DRIVE, SUITE 700

City SAN JOSE State CA ZIP 95110

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): ..... \$40.00

- ☒ Authorized to be charged to Deposit Account 19-2386  
☒ Charge Deposit Account 19-2386 for any additional fees required for this conveyance and credit deposit account 19-2386 any amounts overpaid

DO NOT USE THIS SPACE

8. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Philip W. Woo 39,880  
Name of Person Signing

Signature

10/9/00  
Date

Total number of pages including Assignment: 3

COURTESY COPY

Attorney Docket No.: M-8579 US

### ASSIGNMENT

For good and valuable consideration, receipt of which is hereby acknowledged, we

Ari Pine	of	2001 Shoreline Drive, #302
		Alameda, California 94501
Arthur L. Shmurun	of	651 Moraga Road, Suite 8
		Moraga, California 94556

hereby sell, assign and transfer to Premium Research, Inc., a Delaware corporation, having a place of business at 2001 Shoreline Drive, Suite 302, Alameda, California 94501, its successors and assigns, the entire right, title and interest throughout the world in our invention in

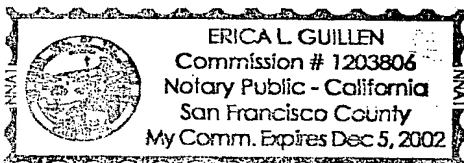
#### System And Method For Analyzing Financial Market Data

for which we filed a United States Patent Application on 06/09/2000, and now has Serial No. 09/590,942, and all patent applications and patents of every country for said invention, including divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said applications; we authorize the above-named assignee to apply for patents of foreign countries for said invention, and to claim all rights of priority without further authorization from us; we agree to execute all papers useful in connection with said United States and foreign applications, and generally to do everything possible to aid said assignee, their successors, assigns and nominees, at their request and expense, in obtaining and enforcing patents for said invention in all countries; and we request the Commissioner of Patents and Trademarks to issue all patents granted for said invention to the above-named assignee, its successors and assigns.

Executed this 24<sup>th</sup> day of July, 2000.

State of California )  
County of San Francisco ) ss.

On July 24<sup>th</sup>, 2000 before me, Erica L. Guillen  
personally appeared Ari Pine personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



WITNESS my hand and official seal.

Erica L. Guillen 12/2002  
SIGNATURE OF NOTARY

COURTESY COPY

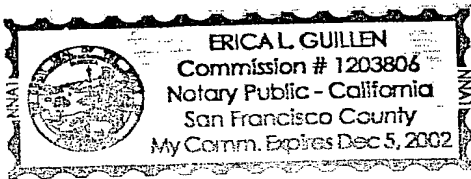
Executed this 7 day of August, 2000.

Arthur L. Shmurun  
Arthur L. Shmurun

State of California )  
County of San Francisco ss.

COPY

On August 7<sup>th</sup>, 2000 before me, Erica L. Guillen  
personally appeared Arthur L. Shmurun personally known to me or proved to me on the basis  
of satisfactory evidence to be the person whose name is subscribed to the within instrument  
and acknowledged to me that he executed the same in his authorized capacity, and that by his  
signature on the instrument the person, or the entity upon behalf of which the person acted,  
executed the instrument.



WITNESS my hand and official seal.

Erica L. Guillen  
SIGNATURE OF NOTARY